

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Kouichi OHTAKA et al.

SERIAL NO: 10/050,865

GAU: 2872

FILED: January 18, 2002

EXAMINER: Not Yet Assigned

FOR: OPTICAL MODULATOR...

INFORMATION DISCLOSURE/RELATED CASE STATEMENT
UNDER 37 CFR 1.97ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☐ The applicant(s) wish to make of record the references listed on the international search report and the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☒ Attached is a list of applicant's pending applications and issued patents which may be related to the present application. A copy of the patents, together with a copy of the claims and drawings of the pending applications is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

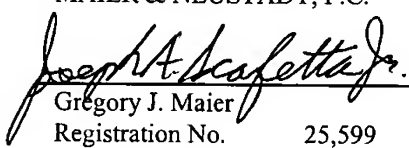
CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

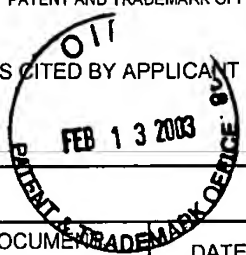
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Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 218290US-2		SERIAL NO. 10/050,865	
LIST OF REFERENCES CITED BY APPLICANT 				APPLICANT Kouichi OHTAKA et al.			
				FILING DATE January 18, 2002		GROUP 2872	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6,367,914	9 Apr 2002	OHTAKA et al.			
	AB	6,312,108	6 Nov 2001	KATO			
	AC	6,332,669	25 Dec 2001	KATO et al.			
	AD	6,150,698	21 Nov 2000	OHTSUKA et al.			
	AE	5,633,523	27 May 1997	KATO			
	AF	5,811,353	22 Sept 1998	NANJO			
	AG	5,668,413	16 Sept 1997	NANJO			
	AH	5,304,357	19 Apr 1994	SATO et al.			
	AI	5,108,843	28 Apr 1992	OHTAKA et al.			
	AJ	5,017,987	21 May 1991	NANJOH et al.			
	AK	5,448,113	5 Sept 1995	SUZUKI et al.			
	AL	5,408,113	18 Apr 1995	KANNO et al.			
	AM	6,324,149	27 Nov 2001	MIFUNE et al.			
	AN	6,509,995	21 Jan 2003	SUZUKI et al.			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AW						
	AX						
	AY						
	AZ						
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							



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LIST OF RELATED CASES

<u>Docket Number</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Status or Patentee</u>
PER CLIENT	09/915,877	07/26/01	UNKNOWN
PER CLIENT	09/632,046	08/03/00	UNKNOWN
PER CLIENT	6,367,914	04/09/02	OHTAKA et al.
PER CLIENT	6,312,108	11/06/01	KATO
PER CLIENT	10/160,153	06/04/02	UNKNOWN
PER CLIENT	10/127,768	04/23/02	UNKNOWN
PER CLIENT	6,332,669	12/25/01	KATO et al.
PER CLIENT	09/113,638	07/10/98	UNKNOWN
PER CLIENT	6,150,698	11/21/00	OHTSUKA et al.
PER CLIENT	5,633,523	05/27/97	KATO
PER CLIENT	5,811,353	09/22/98	NANJO
PER CLIENT	5,668,413	09/16/97	NANJO
PER CLIENT	5,304,357	04/19/94	SATO et al.
PER CLIENT	5,108,843	04/28/92	OHTAKA et al.
0557-2105-2X	5,017,987	05/21/91	NANJOH et al.
0557-2968-2X FWC	5,448,113	09/05/95	SUZUKI et al.
0557-3044-2X	5,408,113	04/18/95	KANNO et al.
0557-4388-2	6,324,149	11/27/01	MIFUNE et al.
196681US2	6,509,995	01/21/03	SUZUKI et al.
205447US2	09/827,097	04/06/01	PENDING

*Present Application; listed for information

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206009US2	09/833,821	04/13/01	PENDING
216209US2	09/988,147	11/19/01	PENDING
217049US2	10/028,698	12/28/01	PENDING
217784US2	10/047,698	01/18/02	PENDING
218290US2*	10/050,865	01/18/02	PENDING
220084US2	10/084,485	02/28/02	PENDING
220221US2	10/085,707	03/01/02	PENDING
226957US3	10/226,344	08/23/02	PENDING
230540US2	10/294,033	11/14/02	PENDING

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